

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

**CERTIFICATE OF EXPRESS MAILING**

I hereby certify that this paper and the documents and/or fees referred to as attached therein are being deposited with the United States Postal Service on October 31, 2003 in an envelope as "Express Mail Post Office to Addressee" service under 37 CFR §1.10, Mailing Label Number **EV332824072US**, addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Ryan Eachus

Attorney Docket No.: 02-6037/LSI1P218

First Named Inventor: Sheldon

Aronowitz



**UTILITY PATENT APPLICATION TRANSMITTAL (37 CFR. § 1.53(b))**  
(Continuation, Divisional or Continuation-in-part application)

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir: This is a request for filing a patent application under 37 CFR. § 1.53(b) in the name of inventors:  
**Sheldon Aronowitz, Vladimir Zubkov, and Grace S. Sun**

For: **MEMORY DEVICE HAVING AN ELECTRON TRAPPING LAYER IN A HIGH-K DIELECTRIC GATE STACK**

Assigned to : LSI Logic Corporation

This application is a ☐ Continuation

☐ Divisional

☒ Continuation-in-part

of prior Application No.: 10/123,263, filed April 15, 2002, from which priority under 35 U.S.C. §120 is claimed.

The specification has been amended to claim priority from the parent application, or such amendment is included in a separate sheet.

**Application Elements:**

☒ **16** Pages of Specification, Claims and Abstract

☒ **02** Sheets of informal Drawings

☒ **03** Pages Combined Declaration and Power of Attorney

☒ Newly executed

☐ Copy from a prior application (37 CFR 1.63(d) for a continuation or divisional).

The entire disclosure of the prior application from which a copy of the declaration is herein supplied is considered as being part of the disclosure of the accompanying application and is hereby incorporated by reference therein.

☐ Deletion of inventors Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).

Accompanying Application Parts:

- ☒ Do not publish this application. Nonpublication Request is attached.
- ☒ Assignment and Assignment Recordation Cover Sheet (recording fee of \$40.00 enclosed)
- ☐ Power of Attorney
- ☐ 37 CFR 3.73(b) Statement by Assignee
- ☒ Information Disclosure Statement with Form PTO-1449 ☒ Copies of IDS Citations
- ☐ Preliminary Amendment (*New claims numbered after highest original claim in prior application.*)
- ☒ Return Receipt Postcard
- ☒ Petition for Application by Other Than All the Inventors
- ☒ Declaration of Facts in Support of Applying on Behalf of Omitted Inventors
- Exhibit A: May 9, 2003 letter
- Exhibit B: May 19, 2003 letter
- Exhibit C: Employee Invention and Confidential Information Agreement
- ☒ Petition fee of \$130.00 (37 CFR 1.17(h))

Claim For Foreign Priority

- ☐ Priority of Application No. filed on is claimed under 35 U.S.C. § 119.
- ☐ The certified copy has been filed in prior application U.S. Application No.
- ☐ The certified copy will follow.

Extension of Time for Prior Pending Application

- ☐ A Petition for Extension of Time is being concurrently filed in the prior pending application. A copy of the Petition for Extension of Time is attached.

Fee Calculation (37 CFR § 1.16)

- ☐ Applicant is entitled to Small Entity Status under 37 C.F.R. §1.27.

	(Col. 1) Total Claims		(Col. 2) Claims	(Col. 3) Present Extra	Rate	Additional Fee
TOTAL	20	MINUS	20	= 00	x 18 =	00
INDEP.	03	MINUS	3	= 00	x 86 =	00
[ ] First presentation of multiple dependent claim					\$280 =	
Basic Filing Fee under 37 C.F.R. §1.16(a)					\$770 =	770.00
TOTAL						770.00
SMALL ENTITY 50% FILING FEE REDUCTION (if applicable)						

16569 U.S. 103103

The Commissioner is authorized to charge \$980.00 (filing fee, two Assignment Recordation fees and Petition fee), or to credit any overpayment, to Deposit Account No. 12-2252 (Order No. 02-6037).

General Authorization for Petition for Extension of Time (37 CFR §1.136)

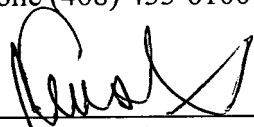
☒ Applicants hereby make and generally authorize any Petitions for Extensions of Time as may be needed for any subsequent filings. The Commissioner is also authorized to charge any extension fees under 37 CFR §1.17 as may be needed to Deposit Account No. 12-2252 (Order No. 02-6037).

☒ Please send correspondence to the following address:

**Customer Number 24319**

LSI Logic Corporation  
1551 McCarthy Boulevard  
Milpitas, California 95035  
Telephone (408) 433-6100

Date: October 31, 2003

  
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James E. Austin  
Registration No. 39,489

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**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

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In re application of: Aronowitz et al.

Attorney Docket No.:

02-6037/LSI1P218

Application No.: Not yet assigned

Examiner: Not yet assigned

Filed: Herewith

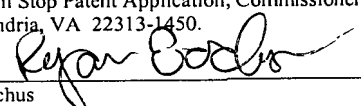
Group: Not yet assigned

Title: MEMORY DEVICE HAVING AN  
ELECTRON TRAPPING LAYER IN A HIGH-K  
DIELECTRIC GATE STACK

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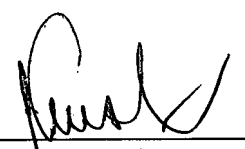
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Ryan Eachus**NONPUBLICATION REQUEST AND CERTIFICATION  
(35 U.S.C. 122(b)(2)(B)(i))**

Mail Stop Patent Application  
Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Sir:

I hereby certify that the invention disclosed in the attached application has not and will not be the subject of an application filed in another country, or under a multilateral agreement, that requires publication at eighteen (18) months after filing. I hereby request that the attached application **NOT** be published under 35 U.S.C. 122(b).

Date: October 31, 2003

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James E. Austin  
Registration No. 39,489